

## Department Procurement Manual Reference Checklist

Department Procurement Manual		
Yes	No	Features: (PAM, Chapter 14)
<input type="checkbox"/>	<input type="checkbox"/>	Title Page
<input type="checkbox"/>	<input type="checkbox"/>	Table of Contents
<input type="checkbox"/>	<input type="checkbox"/>	Table of contents for each section (i.e. Section on policies, section on non-IT, section on IT, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	Introduction to manual
<input type="checkbox"/>	<input type="checkbox"/>	Identifies the purpose of the manual
<input type="checkbox"/>	<input type="checkbox"/>	Identifies the intended audience
<input type="checkbox"/>	<input type="checkbox"/>	Identifies how updates to manual will occur and when
<input type="checkbox"/>	<input type="checkbox"/>	Identifies where the manual is located and its availability to employees
<input type="checkbox"/>	<input type="checkbox"/>	Numbering system – chapter, section, page, etc.
<input type="checkbox"/>	<input type="checkbox"/>	Glossary
<input type="checkbox"/>	<input type="checkbox"/>	Acronym list
<input type="checkbox"/>	<input type="checkbox"/>	Flow charts
<input type="checkbox"/>	<input type="checkbox"/>	Organization charts
<input type="checkbox"/>	<input type="checkbox"/>	Reference documents
<input type="checkbox"/>	<input type="checkbox"/>	Index
<b>Comments:</b>		
<b>Policy</b> – “A written statement that clearly indicates the position and values of the department on a given subject. It contains rules and tells one what to do.”		
Yes	No	Policy Section
<input type="checkbox"/>	<input type="checkbox"/>	Conflict of Interest – how the department ensures staff involved in any aspect of the procurement process are free from conflict of interest. (PCC 10330, PAM Rev 2, Chap 1, Info block 1.4.0 & PAA, Part D)
<input type="checkbox"/>	<input type="checkbox"/>	Training: (PAM Rev 2, Chapter 1, Topic 4, Info block 1.4.0 & PAA, Part E) <ul style="list-style-type: none"> <li>Policy should include the department's position regarding CalPCA certification/training</li> <li>CAL-Card training</li> <li>Internal training practices for staff involved in any aspect of the department's procurement process</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	Small Business Procurement and Contract Act: (PCC 10330, PAM, Chapter 1, Info block 1.4.0 & PAA, Part E) <ul style="list-style-type: none"> <li>Meeting department participation goals</li> <li>Involving its SB advocate in the procurement process</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	Americans with Disabilities Act (ADA) (PAM, Rev 2, Chapter 1, Info block 1.4.0) Ensuring its programs, activities and services are available to all persons, including person with disabilities.
<input type="checkbox"/>	<input type="checkbox"/>	Prompt Payment Act: (GC 927, et. seq., PAM Chapter 1, Info block 1.4.0 & PAA Part E)
<input type="checkbox"/>	<input type="checkbox"/>	Desktop and Mobile Computing Policy (PAM, Chapter 2, Section B, Topic 7 & SAM 4989)
<input type="checkbox"/>	<input type="checkbox"/>	Signature Authority (PAM, Chapter 1, Info block 1.4.0 & SAM 3507 & 5205.3)
<input type="checkbox"/>	<input type="checkbox"/>	Additional department policies pertaining to acquisition processes: Procurement methods and approaches for <ul style="list-style-type: none"> <li>Recycle</li> <li>Waiving the DVBE participation requirement (either by single procurement or by category of purchases as applicable to the department's position)</li> <li>Environmentally preferable purchasing</li> <li>Maintaining bidder lists</li> <li>Advertising solicitations</li> </ul>
<b>Comments:</b>		

## Department Procurement Manual Reference Checklist

### Procedures:

"A written set of instructions that describe the approval and recommended steps for a particular act or sequence of acts. It tells one how to perform a set of tasks in relationship to the department's policies on conducting business."

### Non-Information Technology Purchasing Authority:

#### Categories and sub-categories:

Yes	No	Procedure Section
<input type="checkbox"/>	<input type="checkbox"/>	Does the procedure section of the procurement manual provide detailed instructions on how to conduct a purchasing activity for the requested and/or authority dollar threshold? <b>Note:</b> Procedures must reflect dollar thresholds of each category being requested. <b>Recommendation:</b> Look at each purchasing authority type/purchasing authority category. Organize the information, use a flow chart to establish the sequence of work and integrate PAM requirements to support the procedure.
<input type="checkbox"/>	<input type="checkbox"/>	Identifies the department's requisition process. ✓ Provide sample of document that is used and procedures on completing the form ✓ Levels of approval, as applicable ✓ Supporting documentation, as applicable to the request (i.e. manufacturer specifications, proprietary letters, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	Identifies when and how to obtain any pre-approvals prior to conducting the purchase activity (i.e. PIA, OSP, Surplus property, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	Competitive: <b>Procedure should include:</b> ✓ Advertising proposed contract opportunities in CSCR (GC 14827) ✓ Establishing and maintaining bidder lists ✓ Solicitation formats (RFQ, IFB, Phone Quotes, required solicitation language) ✓ Evaluating and Award ✓ Use of Contract Language ✓ Bidder Instructions ✓ General Provisions (GSPD-401 non-IT) ✓ Agency Special Provisions
<input type="checkbox"/>	<input type="checkbox"/>	Exempt Contracts – based on statute or policy <b>Procedure should include how to:</b> ✓ Conduct an emergency purchase (PAM, Chapter 2, Section B, Topic 8) ✓ Conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statute or policy. (PAM, Chapter 5, Topic 6 & 7) ✓ Develop the solicitation and obtaining the price quote from the supplier ✓ Provide sufficient detail in the procurement file to identify the rationale to exempt the purchase from competitive bidding or advertising by statute or policy. ✓ Provide a statement in procurement file to identify how the purchase is cost reasonableness
<input type="checkbox"/>	<input type="checkbox"/>	SB/DVBE Option (\$5,000.01 - \$99,999.99)
<input type="checkbox"/>	<input type="checkbox"/>	Prison Industry Authority (PIA)
<input type="checkbox"/>	<input type="checkbox"/>	Community Rehabilitation Program (CRP)
<input type="checkbox"/>	<input type="checkbox"/>	Non-competitively bid (NCB) contract justification for non-IT Goods

### Comments:

# **Department Procurement Manual** **Reference Checklist**

## **Non-Information Technology Purchasing Authority - (Continued):**

### **Leveraged Procurement Agreements sub-categories:**

Procedures for each should include but not limited to the following areas:

- ✓ Dependent upon LPA category (CMAS, MA, SPS, etc.) instructions on what document is required to obtain pricing
- ✓ Obtaining multiple offers
- ✓ Obtaining information to support the pricing offered
- ✓ Methods used to access supplier offers (Best Value – identifying how best value is determined)
- ✓ Where and/or how LPA contracts are located in the department.
- ✓ Validation of SB and/or DVBE status and validating participation

Yes	No	Procedure Section
<input type="checkbox"/>	<input type="checkbox"/>	Statewide Contract
<input type="checkbox"/>	<input type="checkbox"/>	State Price Schedules
<input type="checkbox"/>	<input type="checkbox"/>	Master Agreements non-IT Goods
<input type="checkbox"/>	<input type="checkbox"/>	Western State Contracting Alliance (WSCA) Master Price Agreement – non-IT Goods
<input type="checkbox"/>	<input type="checkbox"/>	California Multiple Award Schedules (CMAS) non-IT Goods
<input type="checkbox"/>	<input type="checkbox"/>	California Multiple Award Schedules (CMAS) non-IT Services

**Comments:**

# Department Procurement Manual Reference Checklist

Non-Information Technology Purchasing Authority - (Continued):		
Additional purchasing activities requiring procedures:		
Yes	No	Procedure Section
<input type="checkbox"/>	<input type="checkbox"/>	Determining Fair and Reasonable Pricing (PAM, Chapter 4, Section C, Topic 1 and Topic 2, Pages 32-35)
<input type="checkbox"/>	<input type="checkbox"/>	CalCard procedures (PAM, Chapter 1, Topic 5, Info block 1.5.0, page 21)
<input type="checkbox"/>	<input type="checkbox"/>	Official Procurement File <u>Procedures on setting up the official department procurement file</u> <ul style="list-style-type: none"> <li>✓ Location of file</li> <li>✓ Access to file</li> <li>✓ Documentation requirements</li> <li>✓ Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where it is located)</li> <li>✓ Identifying whether the official audit file is maintained electronically or hardcopy.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	Procedures on how buyers obtain required approvals from Finance, PIA, DGS/PD, Telecom, OFA, OLS, ORIM, etc. as applicable to the purchasing authority/category of transaction. (PAM, Chapter 1 & 2)
<input type="checkbox"/>	<input type="checkbox"/>	Procedures for receiving stock and following up on open purchase documents (PCC 10333.a.2, SAM 4822.30, PAM, Chapter 10)
<input type="checkbox"/>	<input type="checkbox"/>	Supplier Performance (PCC 10333.a.2, PAM Chapter 10, Topic 6 Info block 10.6.2)
<input type="checkbox"/>	<input type="checkbox"/>	<u>Purchase Document</u> (PAM, Chapter 8) <ul style="list-style-type: none"> <li>▪ Identifies the purchase document numbering system</li> <li>▪ Identifies how and who assigned the purchase document numbers.</li> <li>▪ Identifies the purchase documents used and when.</li> <li>▪ Identifies the routing for both internal and external signatures and/or approvals.</li> <li>▪ Identifies either where a current signature authority list can be obtained and/or provides the list within the procedure.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<u>Reporting Requirements</u> (PAM Chapter 12) <ul style="list-style-type: none"> <li>▪ NCB</li> <li>▪ Reporting purchase documents executed under the department's purchasing authority(ies).</li> <li>▪ Prescription Drugs Purchased Outside of the Prescription Drug Bulk Purchasing Program Quarterly Report, as applicable to the department.</li> <li>▪ Who is responsible, how information is collected, etc.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<u>State Contract and Procurement Registration System (SCPRS)</u> (PAM, Chapter 8, Topic 1) <ul style="list-style-type: none"> <li>• Who is responsible for entering document?</li> <li>• Identifies by either procedure and/or policy whether buyers are entering all purchases documents regardless of value or only those purchase documents over \$5,000.00.</li> </ul>
<b>Comments:</b>		

## Department Procurement Manual Reference Checklist

Information Technology Purchasing Authority:		
Categories and sub-categories:		
Yes	No	Procedure Section
<input type="checkbox"/>	<input type="checkbox"/>	<p>Does the procedure section of the procurement manual provide detailed instructions on how to conduct a purchasing activity for the requested and/or authority dollar threshold?</p> <p><b>Note:</b> Procedures must reflect dollar thresholds of each category being requested.</p> <p><u>Recommendation:</u> Look at each purchasing authority type/purchasing authority category. Organize the information, use a flow chart to establish the sequence of work and integrate PAM requirements to support the procedure.)</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p>Identifies the department's requisition process.</p> <ul style="list-style-type: none"> <li>✓ Provide sample of document that is used and procedures on completing the form</li> <li>✓ Levels of approval, as applicable</li> <li>✓ Supporting documentation, as applicable to the request (i.e. manufacturer specifications, proprietary letters, etc.)</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p>Identifies when and how to obtain approvals (both departmental and/or outside the department) prior to conducting the procurement activity. (PAM Chapter 2 &amp; SAM 4500, 4800, 4832, 4921, 4989, 5200 &amp; 6700)</p> <p><u>Procedure should include:</u></p> <ul style="list-style-type: none"> <li>✓ How the buyer will ensure that the IT expenditure is authorized.</li> <li>✓ What information will be required to be submitted to the procurement office to support the IT expenditure</li> <li>✓ Identifying how the department will be compliant when a Certification of Compliance with SAM 4819 is necessary, when the certification will be authorized and by who, and retaining the signed certificate in the procurement file. (SAM 4819.41)</li> <li>✓ Identify how the procurement file will be documented when the Certification of Compliance with SAM 4819 is not required. (SAM 4819.41)</li> <li>✓ How the buyer will document the procurement file when the IT expenditure is exempt from SAM 4819 - specifically how the exclusions identified in SAM 4819.32 will be supported in the procurement file. (SAM 4819.32)</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p>Procedure on how the department will comply with the Desktop Mobile Computing policy (BL 04-26; SAM 4989-4989.8 &amp; PAM, Chapter 2, Topic 7, 2.B7.2)</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p>Competitive:</p> <p><u>Procedure should include:</u></p> <ul style="list-style-type: none"> <li>✓ Advertising proposed contract opportunities in CSCR (GC 14827)</li> <li>✓ Establishing and maintaining bidder lists</li> <li>✓ Solicitation formats (RFQ, Phone Quotes, required solicitation language, IFB &amp; RFP)</li> <li>✓ Evaluating and Award (award to responsive and responsible bidder based on low bid or value effective)</li> <li>✓ Bidder Instructions</li> <li>✓ Use of General and Special Provisions: <ul style="list-style-type: none"> <li>➤ General Provisions (GSPD-401/IT)</li> <li>➤ Information Technology Purchase Special Provisions</li> <li>➤ Information Technology Maintenance Special Provisions</li> <li>➤ Information Technology Software License Special Provisions</li> <li>➤ Information Technology Personal Services Special Provisions</li> <li>➤ Agency Special Provisions</li> <li>➤ Statement of Work (including equipment and delivery schedules)</li> </ul> </li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Exempt Contracts – based on statute or policy</u></p> <ul style="list-style-type: none"> <li>✓ Identifies procedure on how to conduct an emergency purchase (PAM, Chapter 2, Section B, Topic 8)</li> <li>✓ Identifies procedure of how to conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statute or policy. (PAM, Chapter 5, Topic 6 &amp; 7)</li> </ul> <p><u>Procedure should include:</u></p> <ul style="list-style-type: none"> <li>➤ Developing the solicitation and obtaining the price quote from the supplier</li> <li>➤ Providing sufficient detail in the procurement file to identify the rationale to exempt the purchase from competitive bidding or advertising by statute or policy.</li> <li>➤ Providing a statement in procurement file to identify how the purchase is cost reasonableness</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	SB/DVBE Option (\$5,000.01 - \$99,999.99)
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<input type="checkbox"/>	<input type="checkbox"/>	Community Rehabilitation Program
<input type="checkbox"/>	<input type="checkbox"/>	Non-competitively bid (NCB) contract justification for IT Goods and Services
<b>Comments:</b>		

# **Department Procurement Manual Reference Checklist**

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<input type="checkbox"/>	<input type="checkbox"/>	CalCard procedures (PAM, Chapter 1, Topic 5, Info block 1.5.0, page 21 and Chapter 9 Section B, Topics 2 – 6)
<input type="checkbox"/>	<input type="checkbox"/>	<u>Official Procurement File</u> Procedures on setting up the official department procurement file <ul style="list-style-type: none"> <li>✓ Location of file</li> <li>✓ Access to file</li> <li>✓ Documentation requirements</li> <li>✓ Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where is it located)</li> <li>✓ Identifying whether the official audit file is maintained electronically or hardcopy.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	Procedures on how buyers obtain required approvals from Finance, PIA, DGS/PD, Telecom, ORIM, etc. as applicable to the purchasing authority/category of transaction.
<input type="checkbox"/>	<input type="checkbox"/>	Procedures for receiving stock and following up on open purchase documents (SAM 4822.30, PAM, Chapter 10)
<input type="checkbox"/>	<input type="checkbox"/>	Supplier Performance (PAM, Chapter 10, Topic 6)
<input type="checkbox"/>	<input type="checkbox"/>	Purchase Document <ul style="list-style-type: none"> <li>▪ How purchase document numbers are assigned.</li> <li>▪ What purchase documents are used and when.</li> <li>▪ Routing internal and external</li> <li>▪ Signature authority.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	Reporting Requirements (PAM, Chapter 12, Topics 1 - 7) <ul style="list-style-type: none"> <li>▪ NCB</li> <li>▪ Reporting purchase documents</li> <li>▪ Who is responsible, how information is collected, etc.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	State Contract and Procurement Registration System (SCPRS) (PAM, Chapter 8, Topics <ul style="list-style-type: none"> <li>▪ Who is responsible for entering document?</li> <li>▪ Identifies by either procedure and/or policy whether buyers are entering all purchases documents regardless of value or only those purchase documents over \$5,000.00.</li> </ul>
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